

Tuesday, October 30, 2018
11:45 – 7:00 p.m.

K&L GATES NEW YORK INVESTMENT MANAGEMENT CONFERENCE

Convene Center

11:45 - 01:00 pm	Registration & Lunch
01:00 - 01:05 pm	Welcome and Introduction Presented by <i>Edward Dartley</i>
01:05 -- 02:00pm	Regulatory & Industry Initiatives and Trends Speakers: <i>Derek N. Steingarten, Cary J. Meer, Bruce W. MacLennan and Rob L. Sichel</i> This session will include: <ul style="list-style-type: none">• Fiduciary Duty of Advisers & Brokers - SEC Regulation Best Interest• GIPS 2020 Performance Advertising• Socially Responsible Investing and ERISA Assets
02:00 - 03:15pm	Private Fund Opportunities: Opportunity Zone Funds, Sustainability & Impact Investment Management Speakers: <i>Abdul-Rahman Lediju, Investment Advisor (United Nations Capital Development Fund), Jolyne Caruso (CEO, The Alberleem Group), Adam J. Tejada, Cary J. Meer and Ed Dartley</i> This session will include: <ul style="list-style-type: none">• Update on Status of the Treasury Regulations• Fund Structuring Issues• Accessing Investor Capital
03:15 - 03:30pm	Break - Refreshments
03:30 - 04:15pm	SEC Regulation & Enforcement in the Trump Era Speakers: <i>Ed Dartley, Eden L. Rohrer, Andrew Shipe, Vincente L. Martinez</i> This session will include: <ul style="list-style-type: none">• Impact of Current Administration on Regulatory Policy and Enforcement• SEC, CFTC and FINRA priorities reflected in enforcement

Tuesday, October 30, 2018
11:45 – 7:00 p.m.

04:15 - 04:45pm **Cryptocurrencies & ICOs in Investment Management: Trading & Compliance Concerns**

Speakers: *Peter J. Shea, Derek N. Steingarten and Anthony R.G. Nolan*

This session will include:

- SEC Enforcement
 - Registered Funds - Barriers to Entry
 - Regulation of Exchanges
 - New York Attorney General Position
 - Registered Advisers Trading Crypto - NY Bitcoin License
 - OCIE Exam Focus
-

04:45 - 05:25 pm **ETF & Registered Fund Developments**

Speakers: *Peter J. Shea and Derek N. Steingarten*

This session will include:

- ETF Rule Proposal
 - Liquidity Rule Implementation
 - ESG Strategies in Registered Funds
 - Global Market Opportunities
-

05:25 - 05:30 pm **Closing Remarks**

Presented by *Derek N. Steingarten*

05:30 - 07:00 pm **Cocktails**
